John J. McDonnell McDonnell Boehnen Hulbert & Berghoff 32nd Floor 300 S. Wacker Drive Chicago, IL 60606

CONFIRMATION NO. 5877

FORMALITIES LETTER

OC000000007330259

Date Mailed: 01/18/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

00000032 132490 05/24/2002 MBERHE 10008978 FILED UNDER 37 CFR 1.53(b) 01 FC:201 370.00 CH 02 FC:205 03 FC:203 65.00 CH 171.00 CH 07/02/2002 Y6IZAN 00000004 132490 10008978 Filing Date Granted 04 FC:204 01 FC:203 18.00 CH

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing. Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37
- Total additional claim fee(s) for this application is \$45640.
 - \$34020 for 1890 total claims over 20.
 - \$11340 for 135 independent claims over 3.
 - \$280 for multiple dependent claim surcharge.
- The oath or declaration is missing. A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(I) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 46510.
- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and

a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase Patentin Software, call (703) 306-2600
- For Patentin Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05.21-02

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PET I			15	SIGE	

Serial No.:

Filed:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE (Case No. 00-1272-C)

Mirkin, et al.

Mirkin Group Art Unit: 1645

10/008,978)
December 7, 2001

For: Nanoparticles Having Oligonucleotides
Attached Thereto and Uses Therefor

REQUEST FOR CORRECTED FILING RECEIPT

Examiner: Not Assigned

Commissioner for Patents Office of Initial Patent Examination Customer Service Center Washington, D.C. 20231

Dear Sir:

- 1. Attached is a copy of the official filing receipt received from the PTO in the above-referenced application for which issuance of a corrected filing receipt is respectfully requested.
- 2. There is an error with respect to the following data, which is incorrectly entered.

Error In:

Domestic priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/927,777 08/10/2001

AND A CIP OF 09/820,279 03/28/2001

AND A CIP OF 09/760,500 01/12/2001

AND A CIP OF 09/603,830 06/26/2000

AND A CIP OF 09/344,667 06/25/1999

AND A CIP OF 09/240,755 01/29/1999 ABN

AND A CIP OF PCT/US97/12783 07/21/1997

WHICH CLAIMS BENEFIT OF 60/031,809 07/29/1996

AND CLAIMS BENEFIT OF 60/176,409 01/13/2000

AND CLAIMS BENEFIT OF 60/192,699 03/28/2000

AND CLAIMS BENEFIT OF 60/200,161 04/26/2000

AND CLAIMS BENEFIT OF 60/231,906 06/26/2000 AND CLAIMS BENEFIT OF 60/244,631 10/30/2000

AND CLAIMS BENEFIT OF 60/254,392 12/08/2000

AND CLAIMS BENEFIT OF 60/254,418 12/08/2000 AND CLAIMS BENEFIT OF 60/255,235 12/11/2000 AND CLAIMS BENEFIT OF 60/255,236 12/11/2000 AND CLAIMS BENEFIT OF 60/282,640 04/09/2001

Correct Data:

Domestic priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/927,777 08/10/2001 AND A CIP OF 09/820,279 03/28/2001 AND A CIP OF 09/760,500 01/12/2001 AND A CIP OF 09/603,830 06/26/2000 AND A CIP OF 09/344,667 06/25/1999 PAT 6,361,944 AND A CIP OF 09/240,755 01/29/1999 ABN AND A CIP OF PCT/US97/12783 07/21/1997 WHICH CLAIMS BENEFIT OF 60/031,809 07/29/1996 AND CLAIMS BENEFIT OF 60/176,409 01/13/2000 AND CLAIMS BENEFIT OF 60/192,699 03/28/2000 AND CLAIMS BENEFIT OF 60/200,161 04/26/2000 AND CLAIMS BENEFIT OF 60/231,906 06/26/2000 AND CLAIMS BENEFIT OF 60/224.631 08/11/2000 AND CLAIMS BENEFIT OF 60/254,392 12/08/2000 AND CLAIMS BENEFIT OF 60/254,418 12/08/2000 AND CLAIMS BENEFIT OF 60/255,235 12/11/2000 AND CLAIMS BENEFIT OF 60/255,236 12/11/2000 AND CLAIMS BENEFIT OF 60/282,640 04/09/2001

3. In addition, please add Gang Lu as a co-inventor.

Emily Miao

Registration No. 35,285

illy submitted,



United States Patens and Trademark Office

MAY 2 0 2002

COMMISSIONER FOR PATENTS UNITED STATES PATENT AND TRADEMARK OFFICE Washington, D.C. 20231

www.uspto.gov

APPLICATION NUMBER

TILING DATE GREAT UNIT

FIL FEE REC'D

ATTY.DOCKET.NO DRAWINGS

TOT CLAIMS

IND CLAIMS 138

10/008,978

0.00

00-1272-C

71

626

CONFIRMATION NO. 5877

FILING RECEIPT

OC000000007330258

John J. McDonnell McDonnell Boehnen Hulbert & Berghoff 32nd Floor 300 S. Wacker Drive Chicago, IL 60606

Date Mailed: 01/18/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Cust mer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If y u received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Chad A. Mirkin, Wilmette, IL: Robert L. Letsinger, Wilmette, IL; Robert C. Mucic, Glendale, CA; James J. Storhoff, Evanston, IL; Robert Elghanian, Skokie, IL: Thomas Andrew Taton, Little Canada, MN; Viswanadham Garimella, Evanston, IL; Zhi Li, Evanston, IL; So-Jung Park, Evanston, IL;

DOCKETED

JAN 2 2 2002 Tos ose 3/1/02 DUE WATE: Forcing Filing Du-12/7/02

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/927,777 08/10/2001

AND A CIP OF 09/820,279 03/28/2001

AND A CIP OF 09/760,500 01/12/2001

AND A CIP OF 09/603,830 06/26/2000

AND A CIP OF 09/344,667 06/25/1999 PAT 6,361,944

AND A CIP OF 09/240,755 01/29/1999 ABN

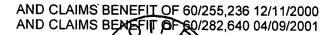
AND A CIP OF PCT/US97/12783 07/21/1997

WHICH CLAIMS BENEFIT OF 60/031,809 07/29/1996

AND CLAIMS BENEFIT OF 60/176,409 01/13/2000

AND CLAIMS BENEFIT OF 60/200,161 04/26/2000
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AND CLAIMS BENEFIT OF 60/244,631 10/30/2000
AND CLAIMS BENEFIT OF 60/254,392 12/08/2000
AND CLAIMS BENEFIT OF 60/254,392 12/08/2000
AND CLAIMS BENEFIT OF 60/254,392 12/08/2000 AND CLAIMS BENEFIT OF 60/254,418 12/08/2000

AND CLAIMS BENEFIT OF 60/255,235 12/11/2000



Foreign Applications

If Required, Foreign Filing Livense Granted 01/15/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Nanoparticles having oligonucleotides attached thereto and uses therefor

Preliminary Class

435

LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls. Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy





order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).